

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In application of:<br><br>Banerjee et al.  | : Group Art Unit: Number                |
| Serial No:   | : Intellectual Property Law Department  |
| Filed:   | : International Business Machines Corp. |
| Confirmation No.:  | : 11400 Burnet Road                     |
|  | : Austin, Texas 78758                   |
| <b>Title:</b> MONITORING THREAD<br>USAGE TO DYNAMICALLY<br>CONTROL A THREAD POOL |   |

DATE: 10-16-03

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D. C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56 (a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR 1.98 (a)(1).

A copy of the one item required to be included with PTO-1449 is supplied herewith.

Respectfully submitted,

*Marilyn Smith Dawkins*

~~Amy J. Pattillo~~

~~Agent for Applicants~~

~~Registration No. 46,983~~

~~(512) 347-7204~~

MARILYN SMITH DAWKINS

31,140

(512) 823-0094

In Place of FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

Serial No. \_\_\_\_\_

Applicant: Banerjee et al.

Filing Date: \_\_\_\_\_

Group: \_\_\_\_\_

Atty. Docket No. AUS920030729US1

| Reference Designation             |                                  |             | <u>U. S. PATENT DOCUMENTS</u>   |              |                             |   |
|-----------------------------------|----------------------------------|-------------|---|--------------|-----------------------------|---|
| <u>Examiner</u><br><u>Initial</u> | <u>Document</u><br><u>Number</u> | <u>Date</u> | <u>Name</u>   | <u>Class</u> | <u>Sub-</u><br><u>class</u> | <u>Filing Date</u><br><u>if</u><br><u>Appropriate</u> |
| _____ AA                          | US 2003/0115168<br>A1            | 6/19/2003   | Methods and Apparatus for<br>Database Transaction<br>Queuing  | 707          | 1                           | 12/17/2001  |
| _____ AB                          | US 6,542,467 B2                  | 4/1/2003    | Bandwidth Allocation System<br>of Virtual Path in<br>Communication Network of<br>Asynchronous Transfer Mode   | 370          | 236                         | 3/4/1999  |
| _____ AC                          | US 2002/0156897<br>A1            | 10/24/2002  | Mechanism for Servicing<br>Connections by<br>Disassociating Processing<br>Resources from Idle<br>Connections and Monitoring<br>the Idle Connections for<br>Activity | 709          | 227                         | 2/23/2001   |
| _____ AD                          | US 6,393,477 B1                  | 5/21/2002   | System and Method for an<br>Administration Server   | 709          | 223                         | 5/25/2001   |
| _____ AE                          | US 6,374,299 B1                  | 4/16/2002   | Enhanced Scalable<br>Distributed Network<br>Controller  | 709          | 227                         | 1/26/2000   |
| _____ AF                          | US 2001/0029548<br>A1            | 10/11/2001  | Method and Apparatus for<br>Handling Events Received at<br>a Server Socket  | 709          | 250                         | 4/6/2001  |
| _____ AG                          | US 5,796,954                     | 8/18/1998   | Method and System for<br>Maximizing the Use of<br>Threads in a File Server<br>for Processing Network<br>Requests  | 395          | 200.6<br>1                  | 10/13/1995  |
| _____ AH                          | US 6,240,453 B1                  | 5/29/2001   | Managing Unused Resources<br>in a Service Application   | 709          | 226                         | 11/12/1998  |
| _____ AI                          | US 5,790,809                     | 8/4/1998    | Registry Communications<br>Middleware   | 395          | 200.5<br>8                  | 11/17/1995  |

\_\_\_\_ AJ US 5,761,507 6/2/1998 Client/Server Architecture 395 684 3/5/1996  
Concurrent Servers Within a  
Server with a Transaction  
Manager Providing  
Server/Connection  
Decoupling

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**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initial | Document<br>Number | Date | Country | Class | Subclass | Translation |
|---------------------|--------------------|------|---------|-------|----------|-------------|
|---------------------|--------------------|------|---------|-------|----------|-------------|

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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner  
Initial

\_\_\_\_ BA General Programming Concepts: Writing and Debugging Programs  
[http://www16.boulder.ibm.com/pseries/en\\_US/aixprgpd/genprogc/understanding\\_threads.htm](http://www16.boulder.ibm.com/pseries/en_US/aixprgpd/genprogc/understanding_threads.htm)  
Accessible on 9/11/2003

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Examiner:

Date Considered:

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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